

United States Government

Department of Energy

Oak Ridge Office

memorandum

DATE: March 14, 2007

REPLY TO

ATTN OF: AD-442:Barker

SUBJECT: **NEW SAFETY STANDARD AND MIDYEAR PERFORMANCE PROGRESS REVIEW
SCHEDULE FOR ALL NON-SES EMPLOYEES**

TO: All ORO Employees

New Critical Safety Performance Standard. The Secretary of Energy has mandated that a new generic critical safety performance standard be included in the annual performance plan for all federal employees. This new element will be added as an amendment to each employee's performance management plan for the 2007 appraisal cycle, subject to impact and implementation negotiation with the union for bargaining unit positions. Copies of the standards are attached to this memo and are available on the Human Resources Division webpage at <http://www.oakridge.doe.gov/pmab/>. For most employees, this element will be rated on a "meet" or "fails to meet" basis for the fiscal year 2007 rating cycle.

The appropriate amendment should be provided to each employee during the midyear progress review. It should be signed by the employee and the rating official **no later than April 30, 2007**, and a copy provided to the Federal Human Resources Branch **no later than May 3, 2007**. For employees who do not directly execute safety responsibilities, the standard for "Employees in Support Positions" will be used. For employees who do have direct safety responsibilities, the "Generic Standard for Employees and Line Managers (GS and SES) Who Execute Safety Responsibilities" will be used unless it is determined that their existing safety performance element meets the minimum requirements of the generic safety standard.

Midyear Progress Review: The 2007 performance rating cycle for non-SES employees is October 1, 2006 through September 30, 2007. Employees are to receive a progress review at approximately the midpoint of the rating cycle each year. This midpoint will end March 31, 2006. In accordance with Department of Energy (DOE), Headquarters requirements, a progress review must be conducted and documented. The progress review should be conducted for each employee **no later than April 30, 2007**. Documentation of the progress review should be provided to the Federal Human Resources Branch **no later than May 3, 2007**.

Subjects to be Discussed: Rating Officials are to discuss the appropriateness of the elements and standards, make any changes warranted in individual appraisal plans, inform each employee of performance expectations, provide a general performance assessment, and give the employee an opportunity to provide feedback or to raise concerns. (This in itself is not a rating.) Rating officials should also clarify roles and responsibilities to ensure that all employees understand their role in achieving the DOE mission. If an employee's performance indicates

deficiencies in meeting expectations described in any performance sub-element, the rating official will discuss these with the employee, and together they will develop actions to correct the deficiencies. A formal opportunity period and a performance improvement plan (PIP) must be established if an employee's performance is determined to be deficient to the extent that it consistently fails to meet expectations. Rating Officials who have identified a need to establish a PIP should consult their Human Resources Specialist for additional information.

Documentation: Progress reviews should be documented on the appropriate form as follows:

For Managers and Supervisors: Use the DOE Managerial/ Supervisory Performance Appraisal Form – Progress Review. This form is available at <http://www.oro.doe.gov/pmab/Forms/Forms.htm>.

For Non-Supervisory Employees: Use Part II of the U.S. Department of Energy, Non-Supervisory Employee Performance Plan and Appraisal Form. This form is available at <http://www.oro.doe.gov/pmab/Forms/Forms.htm>.

Each employee should receive a copy of his/her progress review documentation. The original midyear progress review certification and the safety standard amendment are to be submitted to the Federal Human Resources Branch **no later than May 3, 2007**, for inclusion in the employee's official performance file. Questions should be directed to your Human Resources Specialist.



Melanie M. Kent, Chief
Federal Human Resources Branch

**Generic Standard for Employees and Line Managers
(GS and SES) Who Execute Safety Responsibilities**

Sub-Element: Eliminate workplace accidents, injuries, illnesses, unplanned releases to the environment and strengthen regulatory enforcement actions.

Proposed meets expectations performance standard level:

- Implements functional plan to improve federal and contractor HSS performance.
- Ensures appropriate performance measures and goals are established and are effectively utilized within the functional unit to monitor federal and contractor HSS performance in accordance with Department Policy 450.7 and contract provisions, respectively.
- Ensures adequate performance data is collected and analyzed within the functional unit to identify deficiencies and weak safety performance areas before the occurrence of serious mishaps.
- Ensures HSS performance is systematically evaluated against established goals and appropriate actions are taken in a timely manner to address negative trends and significant performance deficiencies. Corrective actions are completed in accordance with approved schedules and organizational safety strategies to prevent recurrences.
- Ensures processes have been established and effectively implemented to assure federal and contractor staff understand their HSS responsibilities and are held accountable for compliance and effective performance of HSS expectations.
- Encourages prompt identification and investigation of unsafe or unhealthy working conditions and prevents harassment, intimidation, retaliation or discrimination toward individuals who report such conditions.

**SAFETY PERFORMANCE STANDARD
SES AND OTHER MANAGERS IN SUPPORT POSITIONS**

Employee Name:	Performance Period:
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Element	Expectations
Generic Safety Element: Supports line managers in conducting ES&H responsibilities, as applicable, to ensure a safe and healthy environment for DOE federal and contractual workforces.	<p>Supports the implementation of a functional plan by line support managers to improve the ES&H performance of federal and contract employees, as applicable.</p> <p>Identifies and provides training and developmental opportunities to assure the staff is knowledgeable of safety responsibilities, workplace hazards and controls, emergency response procedures, and the Headquarters FEOSH Program, as required or appropriate.</p> <p>Ensures the staff complies with the Headquarters FEOSH program, safety and health requirements, and occupant emergency plan.</p> <p>Encourages the identification and reporting of unsafe or unhealthy working conditions and prevents harassment, intimidation, retaliation, or discrimination towards individuals who report such conditions.</p> <p>Supports investigation of accidents and the implementation of actions to prevent recurrences.</p> <p>Addresses employee reports of alleged unsafe conditions with assistance from the Headquarters Occupational Safety and Health Manager, as appropriate.</p>

Acknowledgement of Performance Element: I understand that my signature on this individual element indicates only that I have reviewed the element. I understand that failure to sign this performance element does not affect its validity.

Rating Official's Name (Typed or Printed)	Rating Official's Signature:	Date:
Employee's Name (Typed or Printed)	Employee's Signature:	Date:

RATING:

	Met	Not Met
Generic Safety Element		

**SAFETY PERFORMANCE STANDARD
EMPLOYEES IN SUPPORT POSITIONS**

Employee Name:	Performance Period:
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Element	Expectations
Generic Safety Element - Support departmental safety and health objectives in order to maintain a safe work environment.	<p>Once observed the employee reports potential safety violations or unhealthy working conditions to management or appropriate safety official in a timely manner.</p> <p>When violations and corrective actions are identified in an individual work area, the employee consistently complies with the corrective actions identified to resolve the unsafe condition.</p> <p>Maintains cognizance with emergency response procedures and adheres to procedures during exercises, drills, and emergency situations.</p> <p>Maintains currency in required safety training as specified by appropriate regulation and/or guidance.</p>

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Rating Official's Name (Typed or Printed)	Rating Official's Signature:	Date:
Employee's Name (Typed or Printed)	Employee's Signature:	Date:

RATING:

	Met	Not Met
Generic Safety Element		

**SAFETY PERFORMANCE STANDARD
SES LINE MANAGERS – OVERSIGHT**

Key Program Objectives	DOE Strategic Plan Goal	Effectiveness Measure (Meets Expectations level)	Weight
Eliminate workplace accidents, injuries, illnesses, and unplanned releases to the environment and strengthen regulatory enforcement actions.		<p>Effectively utilizes contract mechanisms, performance objectives, individual and organizational performance evaluations, oversight processes, and issues management systems to:</p> <ul style="list-style-type: none"> ○ ensure compliance with all applicable environment, health, safety and health (ES&H) requirements, and ○ promote continuous improvement in ES&H performance. <p>Goals and measures are established and effectively utilized to monitor and improve federal and contractor ES&H performance in accordance with Department Policy 450.7 and contract provisions, respectively.</p> <p>Establish and effectively implement management systems and processes to ensure subordinates understand their ES&H responsibilities and are held accountable for compliance and effective performance of ES&H objectives.</p> <p>Executive Targets Develop and implement an integrated plan to achieve substantial improvement in ES&H performance for Safety that promote a decline in occupational exposures, accidents and workplace injuries, releases to the environment, and ES&H violations. The plan is not limited to, but should include and address the following:</p> <ol style="list-style-type: none"> 1. Systematic approach to workplace safety and health that integrates ES&H management and work practices at all levels within the Department so that missions are accomplished while protecting workers, the public, and the environment, and while increasing the employer and workers' awareness of, commitment to, and involvement in behaviors that promote safety and health. 2. Strategies to measure, monitor, and periodically report on the effectiveness of Integrated Safety Management System (including the FEOSH program) implementation and its effectiveness to improve workplace safety and health, and to secure public confidence through excellence in the development and delivery of DOE programs and services. 3. Established plan to meet all of the annual corporate-wide and organization specific ES&H goals in such areas as: <ul style="list-style-type: none"> ○ Injury and Illness Prevention – Reduce the number of accidents and injuries, with a goal of elimination. Potential measures of progress towards reduction could include: <ul style="list-style-type: none"> ▪ number of serious injuries/industrial hygiene exposures ▪ number of near misses ▪ number and severity of violations of hazardous energy programs ▪ TRC performance ▪ DART performance ○ Occupational Exposures – Effectively manage occupational (external and internal) radiation doses from functional operations to assure that doses are kept to as low as reasonably achievable. Potential measures of progress toward this goal could include: 	

		<ul style="list-style-type: none"> ▪ number and severity of radiation exposures ▪ number and severity of radiological control violations <ul style="list-style-type: none"> ○ Environmental Releases – Reduce environmental releases throughout the Department. Potential measures of progress towards this goal could include: <ul style="list-style-type: none"> ▪ number and severity of transportation events ▪ number and severity of offsite/ onsite loss of control of radioactive and/or hazardous material ▪ number and severity of NOVs ▪ number and severity of events related to excessed equipment ○ Facility and Nuclear Safety - Maintain a low occurrence of worker safety and health, nuclear safety, and environmental violations. Potential measures of progress towards this goal could include: <ul style="list-style-type: none"> ▪ number and severity of worker safety and health violations ▪ number and severity of TSR violations ▪ number and severity of AB violations ▪ number of Potentially Inadequate Safety Analysis (PISA)s ▪ number and severity of criticality control issues ▪ number and severity of inadvertent transfers of nuclear material ○ ES&H Performance Corrective Action Effectiveness – Implement corrective actions to address significant ES&H performance issues and negative trends which are taken in a timely manner, completed in accordance with approved schedules, and are effective in preventing recurrences. Corrective Action Effectiveness (part of Corrective Action Management) is a central part of the DOE's push to establishing a quality culture. The Secretary has already initiated this through a DOE-wide phased quality improvement initiative that begins with assessing the Quality Assurance Programs (QAPs) of all HQ, Field, and Contractor elements per DOE 414.1C. Potential measures of progress towards this goal could include: <ul style="list-style-type: none"> ▪ Secretarial Office (SO) HQ and Field Office QAPs developed and approved per DOE Order 414.1C. ▪ implementation procedures written and approved for implementation <p>Established performance goals and measures that are effectively utilized to monitor and improve federal and contractor ES&H performance in accordance with Department Policy 450.7 and contract provisions, respectively.</p> <ol style="list-style-type: none"> 1. ES&H performance is systematically evaluated against established goals, and appropriate actions are taken in a timely manner to address negative trends and significant performance deficiencies. 2. Corrective actions are completed in accordance with approved schedules and organizational safety strategies to prevent recurrences. 	
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